



3628

PTO/SB/21 (08-00)

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| TRANSMITTAL FORM (to be used for all correspondence after initial filing) | | Application Number | 09/480,724 |
| | | Filing Date | January 7, 2000 |
| | | First Named Inventor | Robert Carey et al. |
| | | Group Art Unit | 3628 |
| | | Examiner Name | H. Dass |
| Total Number of Pages in This Submission | 9 | Attorney Docket Number | 12640US01 |

ENCLOSURES (check all that apply)

| | | |
|--|---|--|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO 1449/08A with references <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) (sheets) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD Number of CD(s) _____ | <input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return receipt postcard |
| Remarks | | The Commissioner is authorized to charge any deficiencies or credit any overpayment to Deposit Account No. 13-0017. |

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

| | |
|-------------------------|---|
| Firm or Individual Name | Ronald E. Larson, Esq. McAndrews Held & Malloy, Ltd. |
| Signature | <i>Ronald E. Larson</i> |
| Date | January 6, 2004 |

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| Name (Print/type) | Ronald E. Larson | Registration No. (Attorney/Agent) | 24,478 |
| Signature | <i>Ronald E. Larson</i> | Date | Jan. 6, 2004 |



#14cw
2-29-04

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE
Case No. 12640US01

PATENT

In the Application of:

ROBERT CAREY et al.

Serial No.: 09/480,724

Filed: January 7, 2000

For: METHOD OF SELECTING
SECURITIES FOR A PORTFOLIO

Examiner: Harish T. Dass

Group Art Unit: 3628

Confirmation No.: 4660

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By: Ronald E. Larson
Ronald E. Larson
Reg. No. 24,478

AMENDMENT C

Assistant Commissioner for Patents
P.O. Box 1450
Alexandria VA 22313-1450

Dear Sir:

In response to the Office Action dated October 8, 2003, kindly amend the above-identified application as follows:

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